



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Peter B. Madoff et al.                      Art Unit : 3621  
Serial No. : 09/272,542                                      Examiner : Hewitt, Calvin  
Filed : March 19, 1999  
Title : AUCTION MARKET WITH PRICE IMPROVEMENT MECHANISM

**MAIL STOP AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. A check for \$180 in payment of the late submission fee of §1.17(p) is enclosed. Please apply any other charges or credits to Deposit Account No. 06-1050.

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Applicant : Peter B. Madoff et al.  
Serial No. : 09/272,542  
Filed : March 19, 1999  
Page : 2 of 2

Attorney's Docket No.: 10575-002001

Respectfully submitted,

Date: 10/20/01

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Substitute Form PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark OfficeAttorney's Docket No.  
10575-002001Application No.  
09/272,542**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

Applicant  
Peter B. Madoff et al.Filing Date  
March 19, 1999Group Art Unit  
3621**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	AQ	"The Essential Dictionary of Investing & Finance," Rosenberg, J.M., Barnes & Nobles Books, New York, pp. 286-287, 296-297.
	AR	"Dictionary of Finance and Investment Terms," Downes, J., et al., Barron's Financial Guides, Third Edition, pp. 36-37, 288-289, 300-301.
	AS	NASD, Glossary of Terms, <a href="http://www.nasd.com/web/idcplg?IdcService=SS_GET_PAGE&amp;ssDocName=NASDW_01...2/2/05">http://www.nasd.com/web/idcplg?IdcService=SS_GET_PAGE&amp;ssDocName=NASDW_01...2/2/05</a> , 6 pgs.
	AT	NYSE, New York Stock Exchange, <a href="http://www.nyse.com/glossary/1042235996348.html">http://www.nyse.com/glossary/1042235996348.html</a> , 2/2/05, 3 pgs.

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 10575-002001	Application No. 09/272,542
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) OCT 24 2005 37 CFR §1.98(b)		Applicant Peter B. Madoff et al.	
		Filing Date March 19, 1999	Group Art Unit 3621

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	AU	NASD Glossary of Analyst Research Report Terms, <a href="http://www.nasd.com/web/idcplg?IdsService=SS_GET_PAGE&amp;ssDocName=NASDW_01...2/2/05">http://www.nasd.com/web/idcplg?IdsService=SS_GET_PAGE&amp;ssDocName=NASDW_01...2/2/05</a> , 1 pg.
	AV	InvestorWords.com, <a href="http://www.investorwords.com/3495/order.html">http://www.investorwords.com/3495/order.html</a> , 2/2/05, 3 pgs.
	AW	Clarendon Securities - Glossary, <a href="http://www.clarendonsecurities.com/cs_glossary.htm">http://www.clarendonsecurities.com/cs_glossary.htm</a> , 2/2/05, 4 pgs.
	AX	Yahoo Financial Glossary, <a href="http://biz.yahoo.com/f/g/bb.html">http://biz.yahoo.com/f/g/bb.html</a> , 2/7/05, 3 pgs.
	AY	StreetAuthority.com, <a href="http://www.streetauthority.com/terms/b/bidprice.asp">http://www.streetauthority.com/terms/b/bidprice.asp</a> , 2/7/05, 1 pg.
	AZ	National Financial - Trade Execution Quality, <a href="http://www.nationalfinancial.com/legal/definitions.html">http://www.nationalfinancial.com/legal/definitions.html</a> , 2/7/05, 2 pgs.
	AAA	Christian Financial Definitions and Biblical financial terms, <a href="http://www.prestigeadvisors.com/Definitions.htm">http://www.prestigeadvisors.com/Definitions.htm</a> , 2/2/05, 1 pg.
	ABB	marketVolume Analysis, <a href="http://www2.marketvolume.com/glossary/o0125.asp">http://www2.marketvolume.com/glossary/o0125.asp</a> , 2/7/05, 3 pgs.
	ACC	Legal & Compliance, Investor Terms Directory, <a href="http://www.investorterms.com/terms/Bid.htm">http://www.investorterms.com/terms/Bid.htm</a> , 2/2/05, 3 pgs.

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